

“To-Be” Gap Analysis Implementation Steps

1. Gap Identification: BRDM Gap Number 8: Beneficiary Account Administration

2. Implementation Steps:

- a. Step 1: Establish standard operating procedures for account administration to include:
 - i. Verifying beneficiary’s identity, when account administration is requested by the beneficiary.
 - ii. Document request, when account administration is requested by the beneficiary.
 - iii. Verifying the 3rd party’s right to the beneficiary’s information.
 - iv. Establishing accounts after receiving electronic notice from Ownership and LNRUM.
 - v. Updating accounts.
 - vi. Restricting accounts.
 - vii. Opening accounts.
 - viii. Closing accounts.
 - ix. Providing counseling or advice to the beneficiary on options when a beneficiary makes a request to close his / her account or when a new account is established.
 - x. Holding discussions with beneficiaries when designing Explanation of Payment (EOP) reporting formats.
 - xi. Having Financial Operations personnel participant during counseling sessions.
- b. Step 2: Establish standard operating procedures for funds receivable administration to include:
 - i. Notification from Tribes or external entities that an award, settlement or judgment has been made.
 - ii. Establishment of a receivable account with the assistance of Financial Operations personnel.
 - iii. Establishment of appropriate beneficiary accounts
- c. Step 3: Establish standard operating procedures for payable administration to include:
 - i. Receipt of a notice requesting disbursement to a 3rd party or another beneficiary.
 - ii. Discussions with the beneficiary who is establishing payables to be made from his / her account to verify the purpose of the payment, amount of the payment, type of payment and payment schedule.
 - iii. Establishment of the payment amount and schedule with assistance for Financial Operations personnel.
 - iv. Notification to the requesting beneficiary concerning the establishment of the payable from his / her account

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3. Dependencies on Business Processes:

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
BRDM		
Predecessors	1. B.1 Accept Inquiry / Request	1. Verification of beneficiary’s identity when beneficiary makes a request for his / her account administration; Document the account administration request; and verification of a 3 rd party’s right to a beneficiary’s information needs to be performed.
Successors	1. B.3 Communicate Information	1. Provide a response to the requestor for account administration services.
FO		
Predecessors	1. FO.3 Disbursement	1. Disbursements are reviewed to ensure timely delivery of funds to beneficiaries.
Successors	1. FO.1.1a Create Trust Funds Receivable 2. FO.3.1 Create Funds Payable 3. FO.5 Reporting and Statements	1. Financial Operations uses the beneficiary accounts and related controls to distribute funds. Financial Operations uses the receivable account(s) to receive funds. 2. Financial Operations uses the established beneficiary account(s) for disbursement of funds. Financial Operations uses the payable accounts to disburse funds. 3. Assistance is provided to Financial Operations in developing understandable Explanation of Payments (EOP) and account statements.
LNRP – Wide Area Plan		
Predecessors	1. None	
Successors	1. None	
LNRP - Appraisals		
Predecessors	1. None	
Successors	1. None	

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Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
LNRUM		
Predecessors	1. UM.2.6 Approve Land Use Contract	1. Use and Management provides notification that account administration activity needs to be performed as a result of a land use contract.
Successors	1. None	
Ownership – Title		
Predecessors	1. None	
Successors	1. None	
Ownership – Probate		
Predecessors	1. O.3.1 Prepare Probate Case 2. O.3.3 Close Probate Case	1. Probate provides notice to set up account payable on behalf of the deceased. 2. Probate provides notification that account administration activity needs to be performed as a result of a probate case.
Successors	1. None	
Ownership - Conveyance		
Predecessors	1. O.1.5 Close Transaction (F-T, On-Reservation, Undivided Interest) & Close Transaction (T-T & T-F)	1. Conveyance provides notification to establish a beneficiary account for an exchange, partition or gift deed.
Successors	1. None	
Ownership - Survey		
Predecessors	1. None	
Successors	1. None	

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4. Dependencies on Universal Support Functions:

Universal Support Function	Dependency Description
Automated System Requirements	<ol style="list-style-type: none"> 1. Beneficiary Request Tracking System: Provide a capability to document and track beneficiaries' inquiries / requests. (See Beneficiary Request Tracking System Functional Requirements Document for additional details.) 2. Integrated Trust Data: Provide rapid query and response access to accurate beneficiary, financial, ownership, land and natural resources information to address beneficiary's request and inter-process transactions to support beneficiary account administration. 3. Infrastructure network: Provide sufficient network capabilities to support accessing the integrated trust data and utilizing the tracking system. 4. Workflow System: Provide a capability to electronically move trust related documents and notifications from office to office. 5. Imaging System: Provide a capability to image trust related documents and to query and retrieve the imaged documents.
Policies, Procedures and Regulations	<ol style="list-style-type: none"> 1. None
Training	<ol style="list-style-type: none"> 1. Use of the Beneficiary Request Tracking System. <ol style="list-style-type: none"> a. Document request. b. Complex query. 2. Use of the workflow system. 3. Use of the imaging system. 4. Access and query of the integrated data. <ol style="list-style-type: none"> a. Basic query. b. Complex query. 5. Communications and customer service management. 6. Trust relationship management. 7. Beneficiary account administration, receivable administration and payable administration standard operating procedures.

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Universal Support Function	Dependency Description
	8. Working knowledge of the Financial and Resource Management fiduciary responsibilities.
Records Management	1. Storage of electronic records.
Risk Assessment	1. Risks associated with: <ul style="list-style-type: none"> a. Verification of beneficiary identity. b. Verification of 3rd party’s right to beneficiary information. c. Data access security controls not being adequate. d. Providing counsel on account use options.
Workforce Planning	1. None
Internal Controls / Fiduciary Security	1. None